

**RECORDS MANAGEMENT
PROGRAM**

MANUAL OF PROCEDURES

PART VII

**EXHIBITS/FORMS AND
INSTRUCTIONS**

EXHIBITS

The following pages contain the Exhibits listed below. Use this as a guide to locate the Forms and/or Instructions that your agency may need.

- Exhibit 1 WV-25 Agency Records Inventory
- Exhibit 2 WV-26 Records Retention Authorization
- Exhibit 3 WV-26 Instructions
- Exhibit 4 N/A
- Exhibit 5 WV-27 Retention & Disposal Schedule
- Exhibit 6 WV-29 Records Disposal Report
- Exhibit 7 WV-29 Instructions
- Exhibit 8 WV-30 Record Disposal Log
- Exhibit 9 WV-30 Instructions
- Exhibit 10 Filing Equipment Procurement Authorization
- Exhibit 11 Memorandum Requesting Accession Number
- Exhibit 12 N/A
- Exhibit 13 Packing Letter Size Documents
- Exhibit 14 Packing Legal Size Documents
- Exhibit 15 Packing Tab Cards
- Exhibit 16 Packing Small Size Documents
- Exhibit 17 N/A
- Exhibit 18 WV-22 Records Center Shelf Listing
- Exhibit 19 WV-22 Shelf Listing Continuation Sheet
- Exhibit 20 WV-22 Instructions
- Exhibit 21 RM-14 Authorization to Destroy Records
- Exhibit 22 RM-15 Certificate of Destruction

AGENCY RECORDS INVENTORY FOR YEAR _____		Agency:			
		Division:			
Auth. No. or Name of File	WV-26 Attached Yes/NO	Location of Records (Unit, Section, or room No.)	Dates of Records	Volume by Cubic Feet	Retention Requirements (use only if change in present authorization)
STATE OF WEST VIRGINIA					
WV-25					

RECORDS RETENTION AUTHORIZATION New Amended Consult Part II of the Records Management Manual of Procedures for Instructions. Submit To State Records Administrator, Dept. IS&C		Agency:	
		Division:	
		Name and Signature of Records Manager:	
1. NAME OF RECORDS SERIES:			
2. DESCRIPTION:			
3. KIND OF COPY:	4. SIZE:	5. LOCATION:	
6. VOLUME: (cubic feet)	7. EQUIPMENT USED:	8. DATE OF RECORDS: From: To:	
9. LEGAL RETENTION REQUIREMENTS:		10. AGENCY REGULATIONS	
11. RETENTION RECOMMENDATIONS:			

FOR STATE RECORDS ADMINISTRATOR USE ONLY

RETENTION PROCEDURE:
AUTHORIZATION NUMBER:

APPROVALS
AUDITOR:
ARCHIVIST:
OTHER:

This retention and retirement Authorization
has been approved by the STATE RECORDS ADMINISTRATOR: _____
DATE: _____

EXHIBIT 3

FORM WV-26 RECORDS RETENTION AUTHORIZATION

INSTRUCTIONS

Prepare Form WV-26 in triplicate, submitting the original and first copy to the State Records Administrator. Retain the second copy in a pending file. Upon return of the approved copy, destroy the second copy and file the approved copy by authorization number.

In the identification boxes in the upper portion of the form insert the date, name of agency, unit which has custody of records, and the name and signature of the agency's Records Manager.

COMPLETE THE NUMBERED SPACES AS FOLLOWS:

- Block 1 - Name and form number, if applicable, by which file is generally known, e.g., procurement records.
- Block 2 - A good description facilitates appraisal and will segregate the records for actual disposal.

Describe file and attachments, e.g., purchase requisitions, purchase orders, invoices, statements.

Briefly define purpose of record, e.g., whether it feeds information to another record, reference data, etc.
- Block 3 - Kind of copy, e.g., original, duplicate, printout, blueprints, microfilm, etc.
- Block 4 - Size of record, e.g., 5 x 8, 8 1/2 x 11
- Block 7 - Type of equipment used, e.g., 4-drawer letter file cabinet, Lateral files, Microfilm cabinets.
- Block 8 - Date of file, e.g., 1970 to present if a continuing file; 1978 to 1984 if file is closed. Include microfilmed records in dates covered.
- Block 9 - Statutory requirements, if any. (Code Chapter, Article and Section)
- Block 10 - Regulations of holding agency or other agency as applicable.
- Block 11 - Agency's recommendations for retention period. Be specific; do not use terms such as indefinite, destroy at will, etc. If permanent, give brief justification.

If records are to be retired to Records Center, show this:

Example: 3 years in office, 5 years in Records Center, then destroy.

RECORDS RETENTION AND DISPOSAL SCHEDULE		Agency:	Schedule	
		Division:	Page:	
		Final action: 1.Destroy 3.Permanent Code 2.. Shred 4. Archives	Date:	
Authorization Number	Name of Record Series	Retain at Agency	Retain at Records Center	Final Action

State of West Virginia

WV-27 (Formerly RM-18)

RECORDS DISPOSAL REPORT

AGENCY:

DATE:

Reporting Period
From: _____

To: _____

THIS REPORT CONFIRMS THE DESTRUCTION OF
RECORDS FOR THE PERIOD SHOWN, IN ACCORDANCE
WITH THIS AGENCY'S CURRENT RETENTION AND
DISPOSAL SHCHEDULE

SIGNATURE OF RECORDS MANAGER:

IF
MICRO-
FILMED
THEN
GIVE
NUMBE
R OF
ROLLS

DATE
DESTROYED

AUTH.
No.

NAME OF RECORDS SERIES

DATES OF
RECORDS

CUBIC
FEET

INSTRUCTIONS

Prepare Form WV-29 in duplicate. Forward the original to the State Records Administrator, and retain the copy for recording information on the appropriate WV-30. Submit WV-29 report quarterly.

Complete the blocks as follows”

Block 1- Name of Agency

Block 2- Date of Records Disposal Report

Block 3- Reporting period, e.g. 1/1/76 to 3/31/76

Block 4- Signature of Records when destroyed.

Block 5- Dates records were destroyed.

Block 6- Authorization numbers of records destroyed, as shown on Form WV-26 for this file or in Authorization number Column of the Agency's Retention and Disposal Schedule.

Block 7- Name of the record as shown for this file, or the name of Record series column of the Retention and Disposal Schedule.

Example: Attendance Reports.

Block 8- Dates of records destroyed.

Block 9- Cubic Feet of records destroyed.

Block 10- If records have been microfilmed and hard copies destroyed, state number of rolls of microfilm

<h1 style="text-align: center;">RECORDS DISPOSAL LOG</h1>					CODE	DISPOSAL ACTION
					1	Destroyed by agency Destroyed by Records Center Microfilmed Transferred to Archives
					2	
					3	
					4	
AUTHORITY NO.:		NAME OF RECORD SERIES:			AGENCY:	
DATE DESTROYED	DATES OF RECORDS	CUBIC FEET	DATE DESTROYED	DATES OF RECORD	CODE	CUBIC FEET
<div style="display: flex; justify-content: space-between;"> STATE OF WEST VIRGINIA WV-30 </div>						

EXHIBIT 9

FORM WV-30 RECORDS DISPOSAL LOG

INSTRUCTIONS

Prepare Form WV-30 (original only) for each record series which does not carry an authorized permanent retention. Attach Forms WV-30 to appropriate WV-26 retained in Agency Records Manager's file. WV-30 is to show both agency and Records Center disposals or transfers to Archives & History.

Complete the blocks as follows:

Block 1 - Authorization number of record series as shown on Form WV-26.

Block 2 - Same title as shown on Form WV-26 (Block 1)

Block 3 - Name of agency.

Block 4 - Date records were destroyed or transferred to Archives & History.

Block 5 - Dates of records destroyed. Example: FY 1984

If destroyed from Records Center, also show the Accession Number.

Example: 78-B-98
1962-74

If authorization number covers several subordinate offices, designate office and dates in this block.

Example: District #3
1975-79

Block 6 - Using code shown in upper right corner of form, specify method of disposal.

Block 7 - Cubic feet of records destroyed.

EXHIBIT 10

WV-24

FILING EQUIPMENT PROCUREMENT AUTHORIZATION

Date: 7/25/85	Used with Req. No: 452
FROM: Department of Tax State Capitol Building Charleston, WV 25305	

TO:
STATE RECORDS ADMINISTRATOR
DEPT. OF FINANCE & ADMINISTRATION
CAPITOL BUILDING
CHARLESTON, WEST VIRGINIA

Instructions:

Prepare in triplicate; forward the original and one copy of this form to the State Records Administrator. Retain one copy for your control file. Complete the numbered blocks as follows:

- (1) Number of units of equipment.
- (2) Brief but concise nomenclature of the equipment, e.g. cabinet, file, letter size, 4 drawer, steel.
- (3) Cost per unit of equipment.
- (4) Total line cost.
- (5) Justification for procuring the equipment.

APPROVAL IS REQUESTED FOR PROCUREMENT OF THE FILING EQUIPMENT LISTED BELOW			
(1) QUANTITY	(2) NOMENCLATURE	(3) UNIT PRICE	(4) LINE COST
2	HON Full Suspension Steel 2-drawer file cabinet	49.00	\$ 98.00
	sprouse green HN-312, letter-size		

5. Justification:

To replace 2-drawer letter-size file cabinets being retired to Surplus Property.

AUTHORIZING OFFICER	Title:	Signature:
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FOR USE OF STATE RECORDS ADMINISTRATOR ONLY

THIS REQUEST IS:		<input type="checkbox"/> APPROVED	<input type="checkbox"/> DISAPPROVED
Rationale for Disapproval:			
STATE RECORDS ADMINISTRATOR	Date:	Signature:	



EXHIBIT 11

STATE OF WEST VIRGINIA
DEPARTMENT OF NATURAL RESOURCES
CHARLESTON 25306

ARCH A. MOORE, JR.
Governor

MEMORANDUM

RONALD R. POTESTA
Director
MICHAEL A. FOTOS
Deputy Director

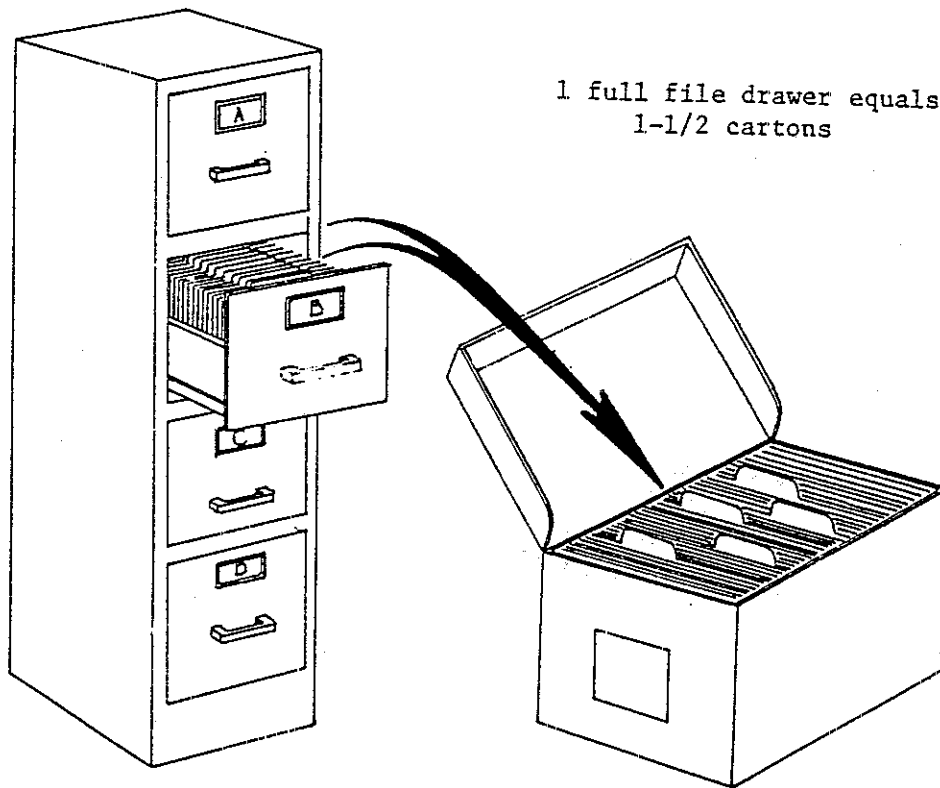
DATE: September 10, 1985
TO: John F. McCuskey, Commissioner
Dept. of Finance & Administration
FROM: M. R. Humphreys, Records Manager
Dept. of Natural Resources
SUBJECT: Accession Number

We request the assignment of an Accession Number for the retirement
of approximately _____ cubic feet of _____ records
from our _____ Division.

MRH:sec

EXHIBIT 13

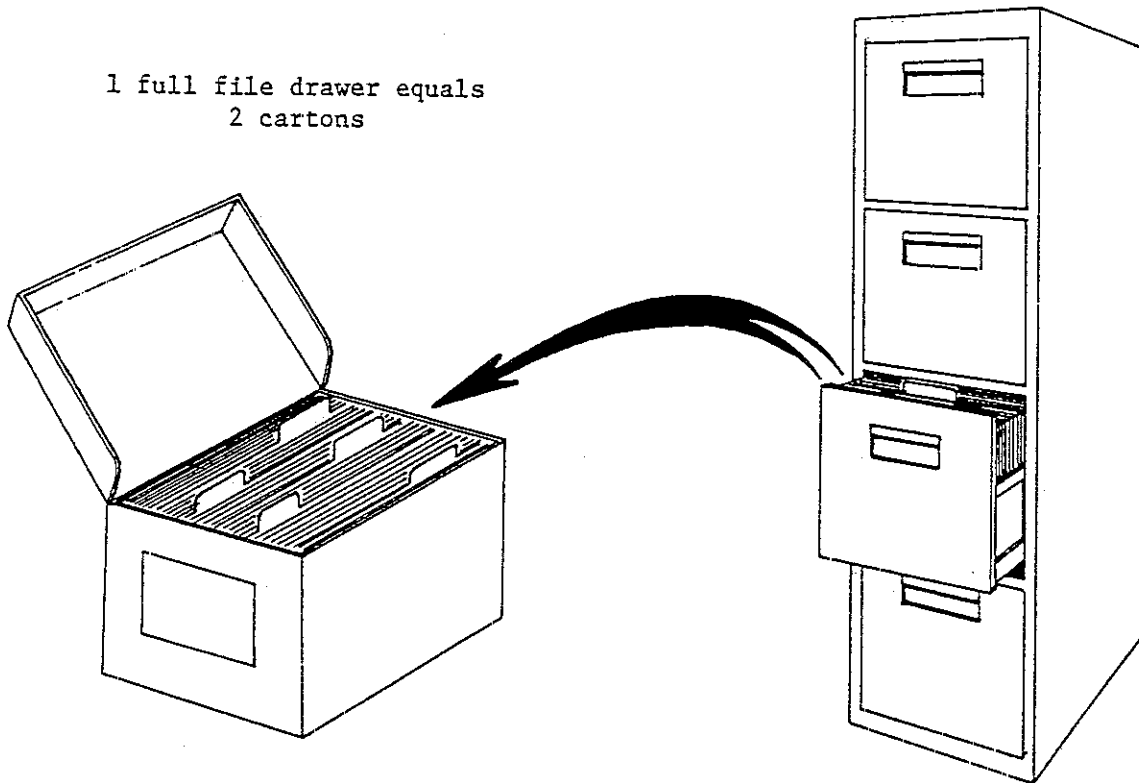
LETTER SIZE DOCUMENTS



1. Letter-size documents are to be filed facing the 12" front (with lid on left side), 15" deep.
2. All records packed in carton must have the same disposal date.
3. Records shall be packed in the same order in which they are maintained in active files.
4. Labels on folders must face the front, and must be legible and visible.
5. Do not stack folders or documents in cartons.
6. Do not cram folders tightly in carton; allow at least one inch to facilitate servicing.
7. Extremely thick folders should be broken down into two or more folders and labeled: Case #2053 - Folder 1 of 2, Case #2053, Folder 2 of 2, etc.
8. If folders are not used, separate contents according to filing unit to expedite retrieval.
9. If carton is only four-fifths filled, rumpled newspapers should be placed in back of last folder to prevent records from slipping.
10. Do not tape cartons.

EXHIBIT 14

LEGAL SIZE DOCUMENTS

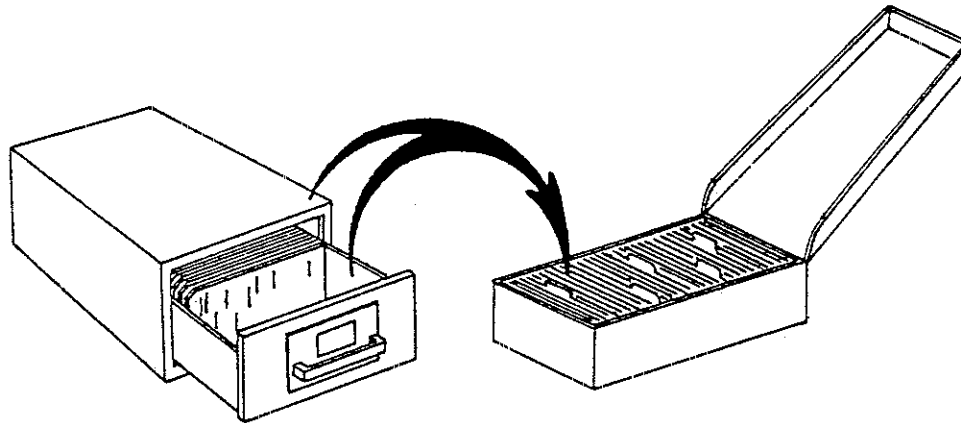


1. Legal size documents are to be filed facing the 15" side, 12" deep.
2. All records packed in carton must have same disposal date.
3. Labels on folders must face the front, and must be legible and visible.
4. Records should be packed in the same order in which they are maintained in active files.
5. Do not stack records in cartons.
6. Do not cram records tightly in cartons; allow at least one inch to facilitate servicing.
7. Extremely thick folders should be broken down into two or more folders and labeled: Case #2053 - Folder 1 of 2, Case #2053 - Folder 2 of 2, etc..
8. If folders are not used, separate contents according to filing unit to expedite retrieval.
9. If carton is only four-fifths filled, rumpled newspapers should be placed in back of last folder to prevent records from slipping.
10. Do not tape cartons.

EXHIBIT 15

TAB CARDS

(packed in tab card cartons)

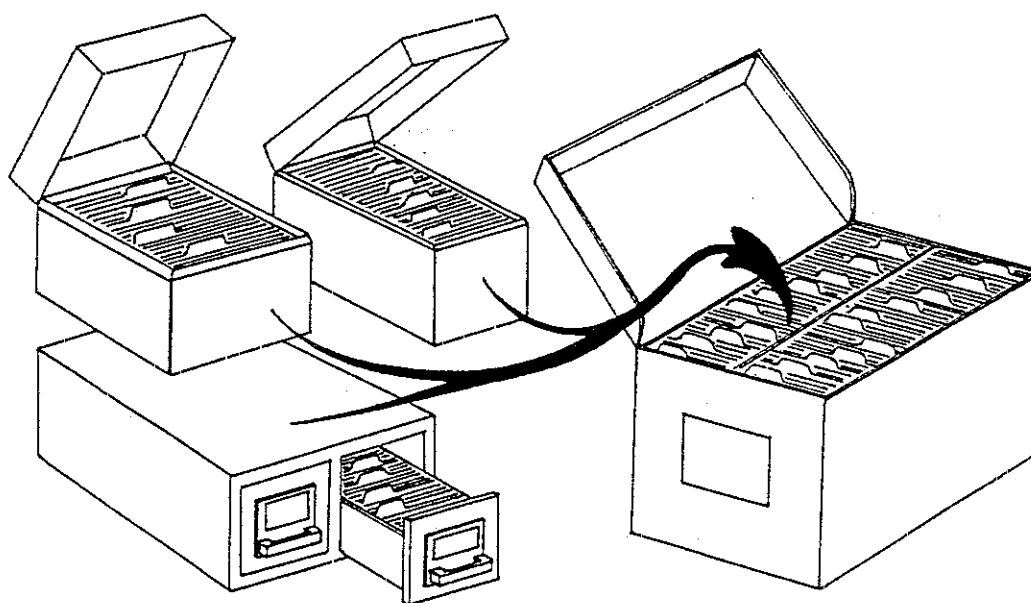


1. All cards packed in carton must have same disposal date.
2. Cards should be packed in same order in which they are maintained in active file.
3. Separate contents according to filing unit to facilitate retrieval.
4. Special storage labels for tab card cartons may be obtained from Revolving Fund.
5. Do not tape cartons.

EXHIBIT 16

SMALL SIZE DOCUMENTS

(3x5, 4x6, 5x8, etc.)



Records smaller than letter size shall be packed in standard records storage cartons using divider pieces.

1. All records packed in carton must have same disposal date.
2. If filed in numerical sequence, the lower number should be at the left front of the carton and the highest number should be at the right rear of the carton. Lower numbers on the bottom level. Alphabetical files should be packed in the same order.
3. Cardboard dividers should be used to separate the rows and between the layers of records to prevent interfiling.
4. Smaller documents may not always fill the carton. The remaining space should not be used to lay on additional records unless such records are related, bound in units and properly identified.
5. One 12" strip of nylon tape may be used to secure cartons.

RECORDS CENTER SHELF LISTING		ACCESSION NO:		
		DATE OF RETIREMENT:		CUBIC FEET RETIRED:
AGENCY NAME & ADDRESS:		SIGNATURE & TITLE OF AUTHORIZATION OFFICER:		
BOX NOS.	AUTH. NO.	DESCRIPTION	DISPOSAL DATE	DISPOSAL METHOD
EQUIPMENT AVAILABLE FOR RE-USE		SPECIAL INSTRUCTIONS:		
LEGAL FILES:				
INTER FILES:				
SHELF SECTION:				
OTHER (Specify):				
STATE OF WEST VIRGINIA		WV-22 (FORMERLY RM-12)		

SHELF LISTING

Continuation Sheet

Page ____ of ____ Pages

Accession No:	
Date of Retirement:	Cubic Feet Retired:

Box Nos:	Auth. No:	Description	Disposal Date	Disposal Method

EXHIBIT 20

FORM WV-22 SHELF LISTING

INSTRUCTIONS

Prepare Forms WV-22 and WV-23, if needed, in quadruplicate. Forward the original and one copy to the State Records Administrator. Retain one copy in files of agency's Records Manager, and forward one copy to cognizant division.

COMPLETE THE BLOCKS AS FOLLOWS:

- Block 1 - Name and Address of Agency.
- Block 2 - Accession Number assigned by the State Records Administrator.
- Block 3 - Date records were turned over to State Records Administrator for storage in Records Center.
- Block 4 - Total cubic feet retired. One completely filled records storage carton equals one cubic foot.
- Block 5 - Signature & Title of Records Manager, Agency's Chief Executive Officer, or Assistant Chief Executive Officer.
- Block 6 - Numbers assigned to boxes in numerical sequence for the records being retired, e.g., 1 - 150.
Break sequence when the record series or disposal dates change.
Example:

Boxes 1 & 2	Auth. No. FA-19	Disposal 1988
Boxes 3 - 10	Auth. No. FA-42	Disposal 1992
Boxes 11 - 20	Auth. No. FA-42	Disposal 1998
- Block 7 - Authorization Number assigned to record series as shown on Form WV-26.
- Block 8 - Name of the record as shown on Form WV-26, plus short description if necessary to identify record. Be sure to specify dates of records.
Example:
Income Tax Returns - 1984
Correspondence - Hospitals - 1982
- Block 9 - Date records may be destroyed as shown on current Retention & Disposal Schedule.
- Block 10 - Method records are to be destroyed, e.g., shredded, salvage, etc.
- Block 11 - Equipment emptied at agency.
- Block 12 - Special instructions covering security, restrictions on use, request return of binder to agency, etc.



EXHIBIT 21

STATE OF WEST VIRGINIA
DEPARTMENT OF FINANCE AND ADMINISTRATION

State Capitol
Charleston, WV 25305

Arch A. Moore, Jr.
Governor

John F. McCuskey
Commissioner

Dear Sir:

Records stored in the West Virginia State Records Center by your agency are eligible for destruction:

<u>Accession No.</u>	<u>Box Nos.</u>	<u>Auth. No.</u>	<u>Description</u>	<u>Years</u>
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Please signify your approval or disapproval of the destruction of the above described records by circling correct phrase and affixing your signature in the space provided below. If destruction is disapproved, please justify extension of retention period on the reverse side of this letter and return to this office.

Your prompt action in this matter will be appreciated.

Respectfully,

D. Terry Barton, Jr.
Director
Revolving Fund Division

DTBJr./pm

Destruction is APPROVED - DISAPPROVED

Agency Head

RM-14 Letter



EXHIBIT 22

STATE OF WEST VIRGINIA
DEPARTMENT OF FINANCE AND ADMINISTRATION

State Capitol
Charleston, WV 25305

Arch A. Moore, Jr.
Governor

John F. McCuskey
Commissioner

Dear Sir.

Destruction of records approved by you on our letter dated _____,
has been accomplished.

A copy of the _____, letter is attached for your files.

Respectfully,

D. Terry Barton, Jr.
Director
Revolving Fund Division

DTBJr./pm

Enclosure - As stated

RM-15 Letter